

CALIFORNIA EMERGENCY MANAGEMENT AGENCY (Cal EMA)

PROGRAM: California Gang Reduction, Intervention and Prevention Program

PERFORMANCE ASSESSMENT / SITE VISIT REPORT

1. **GRANT AWARD NUMBER:** _GR 08 01 8619_ **DATE OF SITE VIST:** _5/13/2010_____
2. **GRANT PERIOD:** April 1, 2009 to March 31, 2011
3. **RECIPIENT/IMPLEMENTING AGENCY:** Second Chance Youth Program
4. **PROJECT DIRECTOR:** Brian Contreras

PERSONS INTERVIEWED DURING SITE VISIT:

<u>NAME</u>	<u>TITLE</u>	<u>AGENCY</u>
Brian Contreras	Executive Director	Second Chance
William Gallagher	Financial Officer	Second Chance
Rosa Zamudio	Adm Manager	Second Chance
_____	_____	_____
_____	_____	_____
_____	_____	_____

Signature of Program Specialist

Date

Signature of Section Chief

Date

Signature of Project Representative

Date

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

A. ADMINISTRATIVE REVIEW

YES NO N/A

1. OPERATIONAL DOCUMENTS

Review hard copy/verify the ability to access on line:

- | | | | |
|--|-------------------------------------|-------------------------------------|--------------------------|
| • The Cal EMA Recipient Handbook (R.H.) | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • The Approved Grant Award Agreement | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • The RFA/RFP (supersedes the requirement of the R.H.) | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • The Program Guidelines (supersedes the requirement of the R.H.) | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Is the project familiar with Office of Management and Budget, OMB Circulars which govern your organization? Circulars may be found at www.whitehouse.gov/omb/circulars . | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments: The copy of the approved grant award agreement was not available. (See attached Findings.)

2. FIDELTY BOND - COMMUNITY BASED ORGANIZATION (CBO) & AMERICAN INDIAN ORGANIZATIONS ONLY

- | | | | |
|--|--------------------------|-------------------------------------|--------------------------|
| • Obtain copy of required CBO bonding? <i>[R.H. Section 2161]</i> Does <u>not</u> apply to state, city, or county units of government. | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • Does the bond show: | | | |
| ○ Bonding company name | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Bond number | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Description of coverage | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Amount of coverage (50% of allocation) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Bond period | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Grant award number | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Bond include Form A (Employee Dishonesty) and Form B (Forgery Coverage)? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Is Cal EMA named on the bond as the beneficiary? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments: A copy of the required fidelity bond was not made available. (See attached Findings.)

3. ENVIRONMENTAL IMPACT – CEQA COMPLIANCE (R.H. Section 2153)

- | | | | |
|---|--------------------------|--------------------------|-------------------------------------|
| • Does the project have their CEQA documentation on file? | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|---|--------------------------|--------------------------|-------------------------------------|

Comments: Certification of Assurance of Compliance filed with application

4. PROOF OF AUTHORITY (R.H. Section 1350)

- | | | | |
|--|--------------------------|-------------------------------------|--------------------------|
| • Does the project have a written authorization/resolution on file as required by the Grant Award Agreement? *Ask for copy | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
|--|--------------------------|-------------------------------------|--------------------------|

Comments: There were no minutes of Board authorization made available. Certification of Assurance of Compliance filed with application

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

A. ADMINISTRATIVE REVIEW (Continued)

YES NO N/A

5. ORGANIZATIONAL CHART

- Review the organizational chart. Are all budgeted positions identified?

☒ ☐ ☐

Comments: _____

6. Cal EMA MODIFICATION (Cal EMA 2-223)

- Review the purpose/preparation of Grant Award Modification (Cal EMA 2-223). [R. H. Section 7500] (*Instruct the project staff on the procedure to obtain the most recent forms from Cal EMA website.*)

☒ ☐ ☐

A modification is needed for the following:

- Budget changes
- Change in key personnel
- Adding/changing additional signers
- Change goals/objectives, or activities
- Address change
- Other

Comments: _____

7. PERSONNEL POLICIES

- Does the project staff have access to written personnel policies as required? [R. H. Section 2130]
- Do policies include:
 - Maintenance of personnel files for all paid and volunteer staff including job applications, salaries, benefits, and current job duties/descriptions
 - A current Drug Free Workplace policy statement on file signed by the employee? [R. H. Section 2152]
 - Work hours
 - Compensation rates
 - Overtime
- Did the Board approve the agency's current personnel policy?

☒ ☐ ☐
☒ ☐ ☐
☒ ☐ ☐
☒ ☐ ☐
☒ ☐ ☐
☐ ☒ ☐

Comments: An employee file made available for review. No Board minutes/resolution of policy approval was made available.

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

A. ADMINISTRATIVE REVIEW (Continued)

8. FUNCTIONAL TIMESHEETS

- | | <u>YES</u> | <u>NO</u> | <u>N/A</u> |
|---|-------------------------------------|--------------------------|--------------------------|
| • Does the project use functional timesheets for each grant funded position less than 1 FTE? OR Time Study Allocation plan updated within the last 2 years? [R. H. Section 11331] | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Are timesheets (paid staff & volunteer) signed by staff & approved by supervisor? (Review timesheets to ensure they are signed by the staff and supervisor) | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments: _____

9. DUTIES OF FINANCIAL OFFICER AND BOOKKEEPER

- | | | | |
|--|-------------------------------------|--------------------------|--------------------------|
| • Are the duties of the financial officer and the bookkeeper separate to ensure no one person has complete authority over a financial transaction? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Name of individual who approves purchases. Brian Contreras | | | |
| ○ Name of individual who writes checks. City of Salinas Acctg. Staff | | | |
| ○ Name of individual(s) who signs checks. Tom Kever, City of Salinas fiscal officer | | | |

Comments: _____

10. SOURCE DOCUMENTATION-Fiscal [R. H. Section 11000]

- | | | | |
|--|-------------------------------------|--------------------------|--------------------------|
| • Does the project maintain a record-keeping system which will accurately support costs claimed on Report of Expenditure and Request for Funds (Cal EMA Form 2-201)? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Does the project maintain an accurate inventory log of equipment purchased with grant funds? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments: CBO uses QuickBooks accounting software

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

1. ADMINISTRATIVE REVIEW (continued)

YES NO N/A

11. PROJECT EXPENDITURES

- | | | | |
|--|-------------------------------------|-------------------------------------|--------------------------|
| • Is the project's expenditure rate commensurate with the elapsed period of the grant? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Are the project's expenditures being made in accordance with the terms of the Grant Award Agreement? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Does the project need to submit a Grant Award Modification Request (Cal EMA Form 2-223)? | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • Is the project up-to-date with the submission of Cal EMA Form 2-201? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments: _____

12. MATCH REQUIREMENTS

- | | | | |
|--|-------------------------------------|--------------------------|--------------------------|
| • Does the project have a match requirement? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Is the project meeting the match requirement? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Review the supporting documentation to substantiate cash or in-kind match. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments: _____

13. EEO POLICY

- | | | | |
|--|-------------------------------------|--------------------------|--------------------------|
| • Go over EEO checklist. (Separate document) | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|--|-------------------------------------|--------------------------|--------------------------|

Comments: Agency supplied basic policies but does not have anything posted except minimum wage poster. (See attached Findings.)

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

B. PROGRAMMATIC REVIEW

GENERAL

YES NO N/A

1. PROGRAM GOALS AND OBJECTIVES

- Review the goals and objectives of the program and the programmatic requirements of the Grant Award Agreement. Is the project meeting the program goals and objectives?
- Does the project staff need to submit Cal EMA Form 2-223 to modify their grant objectives?

☒ ☐ ☐

☐ ☒ ☐

Comments: _____

2. PROGRESS REPORT

- Discuss and review the programmatic Progress Report requirements.

☒ ☐ ☐

Comments: CBO has only completed and submitted the initial Status Report; CalEMA has not received subsequent required Progress Reports. (See attached Findings.)

3. SOURCE DOCUMENTATION-Programmatic

- Is the project maintaining a record keeping and data collection process that will accurately support the project's reported data on the Progress Report form?
- Review the project's file system and data collection process.

☒ ☐ ☐

Comments: Agency has an electronic spreadsheet with data

4. OPERATIONAL AGREEMENTS

- Does the project have current Operational Agreements as required by the Grant Award Agreement?

☒ ☐ ☐

Comments: _____

5. PROJECT STAFF DUTIES

- Interview project staff and discuss their duties and the relationship to the grant. Are employees performing duties as stated in the Grant Award Agreement?

☒ ☐ ☐

Comments: _____

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

C. ADDITIONAL COMMENTS:

The community based organization has a clear mission of reducing gang violence in the Salinas Valley. Many of the staff, including the executive director, are former gang members. The former life-style impresses staff to offer youth a *second chance* to changing their lives. Extensive training is provided to staff on the gang culture of the local area; outreach workers receive an additional 30 days of training and extensive background checks due to the concentrated direct contact with gang members, combined with active participation with law enforcement and various community agencies. Outreach workers also have specific qualification criteria: not be on probation or parole, extensive back-ground check, clean & sober for at least two years, active involvement with a faith-based organization.

Project operations focus on five specific objectives: (1) counseling services for individuals and/or families; (2) school-based violence reduction program provided on-site at several local schools; (3) tattoo removal assistance with at least half a dozen community physicians participating; (4) parent and community educational workshops designed to teach about typical pre-gang behavior in order to prevent gang involvement; (5) The jazz-up program is in partnership with the local redevelopment agency to provide low-income residents with painting assistance, while providing an outlet for youth mandated to perform community services.

Following is a list of findings (a letter of Findings is attached):

- (1) **A copy of the approved grant award agreement was not made available**
- (2) **A copy of the Fidelity Bond was not made available for review**
- (3) **A copy of the Board minutes giving authorization for implementation of the project was not made available; Certification of Assurance of Compliance on file**
- (4) **EEO policies are not posted for employee review, with exception of the minimum wage poster**
- (5) **Progress Reports for October 31, 2009 and April 30, 2010 have not been submitted to Cal EMA**